

Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known Application Number New Patent Application 10/672849 Filing Date Concurrently herewith First Named Inventor: David A.G. Deacon Art Unit Not Yet Assigned 2/28 Examiner Name Not Yet Assigned Attorney Docket Number 42P15254C	
Sheet	1	of	4		

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
	1	US-	5,488,681	01/30/1996	Deacon et al.	
	2	US-	2002/0197013 A1	12/26/2002	Liu et al.	
	3	US-	4,358,851	11/09/1982	Scifres et al.	
	4	US-	4,582,390	04/15/1986	Furuya	
	5	US-	4,896,325	01/23/1990	Coldren	
	6	US-	5,379,318	01/03/1995	Weber	
	7	US-	5,497,393	03/05/1996	Lee	
	8	US-	5,652,812	07/29/1997	Gurib et al.	
	9	US-	5,732,102	03/24/1998	Bouadma	
	10	US-	5,748,660	05/05/1998	Delorme et al.	
	11	US-	5,857,039	01/05/1999	Bosc et al.	
	12	US-	6,236,774 B1	05/22/2001	Lackritz et al.	
		US-				
		US-				
		US-				

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

Examiner Signature		Date Considered	3/1/05
--------------------	--	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Complete if Known	
		Application Number	New Patent Application 10672 848
		Filing Date	Concurrently herewith
		First Named Inventor:	David A.G. Deacon
		Art Unit	Not Yet Assigned 2828
		Examiner Name	Not Yet Assigned
Sheet 2	of 4	Attorney Docket Number 42P15254C	

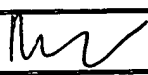
NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
DW	13	RIGOLE, P.J., et al., "State-of-the-art: Widely tunable lasers," <i>SPIE</i> , Vol. 3001, pp. 382-393	
	14	KUNII, T., et al., "Wavelength Tunable Light Source," <i>OKI Technical Review</i> 152, Vol. 61, May 1995, pp. 89-92	
	15	WOODWARD, S.L., et al., "A DBR Laser Tunable by Resistive Heating," <i>IEEE</i> , Vol. 4, No. 12, Dec. 1992, pp. 1330-1332	
	16	KOKUBUN, Y., et al., "Temperature-Independent Optical Filter At 1.55 μ m Wavelength Using A Silica-Based Athermal Waveguide," <i>IMG2</i> 1-3, pp. 93-95	
	17	SARLET, G., et al., "Control of Widely Tunable SSG-DBR Lasers for Dense Wavelength Division Multiplexing," <i>J. of Lightwave Tech.</i> , Vol. 18, o. 8, August 2000, pp. 1128-1129	
	18	SARLET, G. et al., "Wavelength and Mode Stabilization of Widely Tunable SG-DBR and SSG-DBR Lasers," <i>IEEE</i> , Vol. 11, No. 11, November 1999, pp. 1351-1353	
	19	MASON, B., et al., "Design of Sampled Grating DBR Lasers with Integrated Semiconductor Optical Amplifiers," <i>IEEE</i> , Vol. 12, No. 7, July 2000, pp. 762-764	
	20	KAMEDA, T., et al., "A DBR Laser Employing Passive-Section Heaters, with 10.8 nm Tuning Range and 1.6 MHz Linewidth," <i>IEEE</i> , Vol. 5, No. 6, June 1993, pp.608-610	
	21	ISHII, H. et al., "Narrow Spectral Linewidth Under Wavelength Tuning in Thermally Tunable Super-Structure-Grating (SSG) DBR Lasers," <i>IEEE</i> , Vol. 1, No. 2, June 1995, pp. 401-407	
	22	MASON, B., et al., "Tunable Sampled-Grating DBR Lasers with Integrated Wavelength Monitors," <i>IEEE</i> , Vol 10, No. 8, August 1998, pp. 1085-1087	
✓	23	LIU, H.F., et al., "Generation of Wavelength-Tunable Transform-Limited Pulses from a Monolithic Passively Mode-Locked Distributed Bragg Reflector Semiconductor Laser," <i>IEEE</i> Vol. 7, No. 10, October 1995, pp. 1139-1141	

Examiner Signature		Date Considered	3/1/05
--------------------	---	-----------------	--------

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitut for F rm 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complet if Kn wn	
				Application Number	New Patent Application 10/672848
				Filing Date	Concurrently herewith
				First Named Inventor:	David A.G. Deacon
				Art Unit	Not Yet Assigned 2828
				Examiner Name	Not Yet Assigned
Sheet 3	of 4	Attorney Docket Number		42P15254C	
NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ²
DW	24	JAYARAMAN, V., et al., "Widely Tunable Continuous-Wave InGaAsP/InP Sampled Grating Lasers," <i>Elec. Ltrs.</i> , Vol. 30, No. 18, 09/01/94, pp. 1492-1494			
	25	JAYARAMAN, V., et al., "Extended Tuning Range in Samples Grating DBR Lasers," <i>IEEE</i> , Vol. 5, No. 5, May 1993, pp. 489-491			
	26	LEE, S.L., et al., "Direct Modulation Of Widely Tunable Sampled Grating DBR Lasers," <i>SPIE</i> , Vol. 2690, pp. 223-230			
	27	JAYARAMAN, V., et al., "Demonstration of Broadband Tunability in a Semiconductor Laser Using Sampled Gratings," <i>Appl. Phys. Lett.</i> , Vol. 60, No. 19, May 11, 1992, pp. 2321-2323			
	28	JAYARAMAN, V., et al., "Wide Tunability and Large Mode-Suppression in a Multi-Section Semiconductor Laser Using Sampled Gratings," <i>Integrated Photonics Research</i> , New Orleans, LA, paper no. WF1, pp. 306-307, April 13-16, 1992, pp. 106-107			
	29	JAYARAMAN, V., et al., "Continuous-Wave Operation of Sampled Grating Tunable Lasers with 10 mwatt Output Power, >60nm tuning, and Monotonic Tuning Characteristics," <i>Indium Phosphide Conference</i> , Santa Barbara, CA, paper no. MC2, pp. 33-36, March 1994, pp. 82-85			
	30	OBERG, M., et al., "Complete Single Mode Wavelength Coverage Over 40nm with a Super Structure Grating DBR Laser," <i>J. of Lightwave Tech.</i> , Vol. 13, No. 10, October 1995, pp. 1892-1898			
	31	BOUADMA, N., et al., "Integration of a Laser Diode with a Polymer-Based Waveguide for Photonic Integrated Circuits," <i>IEEE</i> , Vol. 6, No. 10, October 1994, pp. 1188-1190			
	32	DIEMEER, M.B.J., et al., "Polymeric Optical Waveguide Switch Using the Thermo-optic Effect," <i>IEEE</i> , Vol. 7, No. 3, March 1989, pp. 449-453			
	33	KACZMARSKI, P., et al., "Design of an Integrated Electro-Optic Switch in Organic Polymers," <i>IEE Proceedings</i> , Vol. 136, Pt.J., No. 3, June 1989, pp. 152-158			
	34	TADA, K., et al., "Temperature Compensated Coupled Cavity Diode Lasers," <i>Optical & Quantum Elect.</i> , 16, 1984, pp. 463-469			

Examiner Signature		Date Considered	3/1/05
--------------------	---	-----------------	--------

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute Form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	New Patent Application 10/672 848
Filing Date	Concurrently herewith
First Named Inventor:	David A.G. Deacon
Art Unit	Not Yet Assigned 2727
Examiner Name	Not Yet Assigned
Attorney Docket Number	42P15254C

Sheet 4 of 4

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
DV	35	FURUYA, K., et al., "A Novel Deposit/Spin Waveguide Interconnection (DSWI) for Semiconductor Integrated Optics," <i>IEEE</i> , Vol. QE-18, No. 10, October 1982, pp. 1783-1789	
	36	BARRETT, C., et al., "Photoinscription of Channel Waveguides and Grating Couplers in Azobenzene Polymer Thin Films," <i>SPIE</i> , Vol. 3006, pp. 441-449	
	37	OH, M.C., et al., "Polymeric Wavelength Filters with Polymer Gratings," <i>Appl. Phys. Lett.</i> , Vol. 72, No. 13, March 30, 1998, pp. 1559-1561	
	38	MANOLATOU, C., et al., "High Density Integrated Optics," <i>J. of Lightwave Tech.</i> , Vol. 17, No. 9, Sept. 1999, pp. 1682-1692	
	39	ELDADA, L., et al., "Integrated Multichannel OADM's Using Polymer Bragg Grating MZI's," <i>IEEE</i> , Vol. 10, No. 10, October 1998, pp. 1416-1418	
	40	ELDADA, L., et al., "Thermally Tunable Polymer Bragg Grating OADM's," <i>OFC '99 100C</i> , Technical Digest Conf. Edition, Feb. 25, 1999, pp. 98-100	
	41	ELDADA, L., et al., "Thermo-Optically Active Polymeric Photonic Components," <i>OFC '2000</i> , Technical Digest Series, March 8, 2000, pp. 124-126	

Examiner Signature		Date Considered	3/1/05
--------------------	---	-----------------	--------

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.